



ISCC 202-01 Checklist for the Control of Sustainability Re- quirements for the Production of Biomass

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Checklist for the Control of Requirements for the Production of Biomass

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1 Introduction

The Checklist for the Control of Requirements for the Production of Biomass supplements document ISCC 202 and gives further guidelines to the certification bodies on how to verify the requirements according to ISCC 202. These guidelines are minimal requirements whose framework shall be exceeded by the auditor if required due to risk assessment or other noticeable findings.

As needed, a National or Regional Initiative (National or Regional Technical Working Groups) can adapt the herein recorded regulations to local conditions by the means of a specification. Therefore, the working groups shall consider the regulations in the documents ISCC 102 National and Regional Initiatives.

2 Scope

In addition to the ISCC document 202, this document describes the principal demands to be considered for the control of the requirements of the production of biomass (cultivation). The minimal requirements for the verification of each of the six principles are stated. The verification of the principles is carried out by the assessment of databases, maps, satellite images, the assessment of internal documents, interview of personnel, management and stakeholders as well as visual inspection of areas and the companies' facilities, storage facilities and infrastructure.

3 Normative references

As a basic principle, all relevant ISCC documents are valid for the scope of application. The normative references display the documents whose contents are linked and have to be considered as conjoint points.

Relevant references:

ISCC 102 National and Regional Initiatives

ISCC 201 System Basics

ISCC 202 Sustainability Requirements – Requirements for the Production of Biomass

ISCC 203 Requirements for Traceability

4 Control of Requirements for the Production of Biomass

The control of the requirements for the production of biomass is based on the six ISCC principles (see ISCC 202). For the verification of each principle and the corresponding criteria, the following three topics are significant and shall be implemented in the verification as far as possible:

- (1) Visual inspection and assessment of internal documents
- (2) Interview of personnel, management and stakeholders
- (3) Inspection of areas, company facilities, storage facilities, infrastructure.

4.1 Verification of PRINCIPLE 1: Biomass shall not be produced on land with high biodiversity value or high carbon stock (according to Article 17(3), (4) and (5) of the Directive 2009/28/EC. HCV areas shall be protected

Verification of principle 1 must be based on an assessment of all acreages belonging to the farm/ plantation. Normally confirmed by a list of all fields that are owned or leased by the company, including numbers of fields, lots or blocks, field size, field status, cultivated crops, crop yield for the particular year, divided into grassland, cropland and other fields (i.e. compensating areas, set aside areas), if applicable.

Verification of land rights for all fields by means of official documents. The following documents are accepted:

- Written confirmation of the competent authority (confirmation of the land registry office, abstract of title, field assignment by the Government, deed of ownership or any comparable official document like tax credit in the amount of the real estate tax) or an adequate confirmation of a notary or a bank (i.e., a notary certified contract of purchase). The fields shall be clearly identifiable and align to the above mentioned list.
- Documented evidence of lease contract in case of leased fields. The lease contract shall include clear identification of owner, tenant and fields (name, site plan and hectare details). In case of verbal contracts, they shall subsequently be set out in writing.

Certification cannot be carried out where there are no clearly identified land rights for the cultivated fields.

Verification whether the fields were used in the same agricultural manner before the reference point.

Verification can be carried out by means of the following documents:

- Satellite pictures, definitely showing the field use before January 2008
- Plans of land utilisation or comparable documents
- Document of proof by an officially accredited expert (i.e., based on soil analyses created before January 2008)

- GPS based yield data of agricultural harvesters, showing exact details of the crop yield of the fields per measuring point via the producers' software
- File with register of lots or comparable records
- Applications for land area payments or comparable documents.

Certification cannot be effected if this verification does not succeed.

If areas have been converted after January 2008, the type of the reference area shall be defined clearly. If the reference area complies with one of the field categories mentioned and defined in Principle 1, the cultivated biomass and the hence produced products shall not be certified by ISCC.

Highly biodiverse grassland, as stated in the RED, has not yet been fully defined by the EC. Until definitions, criteria and geographic areas featuring grassland with high biodiversity are determined by the Commission, any conversion of grassland in or after January 2008 is prohibited within the ISCC system.

The following documentations and records are accepted as evidence that the converted area does not fall in the categories of Principle 1:

- Plans of land utilisation, geographical material, official documents or comparable documents referring to the reference area after January 2008 but before the converting, that allow clear identification of the reference area, and that exclude that reference areas fall in the definition of Principle 1 in the ISCC document 202
- Proof documents by an officially accredited expert that refer to the reference area after January 2008 but before the converting (i.e., soil analyses, photographic documentation)
- Sufficiently close satellite pictures that refer to the reference area after January 2008 and allow a clear identification of the reference area and that exclude that reference areas fall in the definition of Principle 1 in the ISCC document 202.

The carbon stock of the reference area (over ground and underground biomass plus soil carbon) shall be declared. This is also valid after the converting of the area. The categories according to IPCC (see also the ISCC document 205 Calculation methodology of GHG emission and GHG audit) may be used for the declaration of the carbon stock of both areas (before and after the change in land utilisation).

4.2 Verification of PRINCIPLE 2: Biomass shall be produced in an environmentally responsible way. This includes the protection of soil, water and air and the application of Good Agricultural Practices

The environmentally responsible production of biomass and the protection of soil, water and air as well as the application of Good Agricultural Practices shall be verified. Among other things, the compliance with the criteria mentioned in ISCC 202 Principle 2 shall be verified as follows:

(1) Visual inspection and assessment of internal documents, for example:

- permission under building law for new facilities, streets, drainages, irrigation systems, etc.

- environmental management plans, inspections and reports about environmental impact
- documents about quality and training of management, personnel and subcontractors
- plans and strategies for recultivation, techniques to minimize soil erosion
- maps of vulnerable soil
- balance of organic soils
- soil analyses
- records about the purchase and application of fertilizer, pesticide and herbicide
- method of fertilizer application
- stock list of plant protection products
- documentation of responsible persons about choice and use of plant protection products and their qualifications
- documents about maintenance, inspection and calibration of application machinery, service reports
- records about the purchase and use of seeds
- records about machine use
- records about the application of organic matter
- implementation of pest prevention, pest monitoring and, if necessary, pest control
- records about internal audits, possibly occurred non conformities, respectively reports about actions and their implementation

(2) interview of personnel, managing directors and stakeholders concerning for example

- storage of fertilisers and pesticides
- fertilizing practices
- compliance with instructions
- access to protective clothing and emergency equipment
- access to drinking water supply
- knowledge of local and national laws
- waste disposal techniques

(3) inspection of for example:

- storage of fertilisers and pesticides
- facilities for measuring and mixing plant protection products
- application of organic matter and their even spreading (e.g. return of EFBs)
- drinking water supply
- irrigation techniques
- water supply
- distance of cultivation areas to natural water courses
- implementation of techniques to minimize soil erosion (i.e., no-till techniques, use of perennial plants, bounding hedges)
- availability of protective clothing and emergency equipment

- waste disposal techniques

4.3 Verification of PRINCIPLE 3: Safe working conditions through training and education, use of protective clothing and proper and timely assistance in the event of accidents

The compliance with safe working conditions shall be verified. The compliance with the criteria listed in ISCC 202 Principle 3 shall be verified among others by the following ways:

(1) Visual inspection and assessment of internal documents, for example:

- risk assessments regarding working conditions
- principles and procedures concerning health, safety and hygiene
- effected training, evidence of qualification implements for personnel
- regulations and schedules for application intervals of plant protection products
- reports about internal audits, possibly occurred non conformities, respectively reports about actions and their implementation

(2) interview of personnel, managing directors and stakeholders concerning for example:

- knowledge of risk assessment regarding the working conditions
- principles and procedures concerning employment protection, health protection and hygiene
- knowledge of hygiene instructions and their implementation
- knowledge of accident plans, emergency plans and emergency equipment
- use of protective clothing, the cleaning and storage
- knowledge of danger signs, safety instructions and emergency actions
- knowledge of implementation of regulations and schedules concerning application intervals of plant protection products
- availability of food storing areas, access to dining areas, hand washing facilities and drinking water
- state of accommodation

(3) inspection of for example:

- First-aid-kits, emergency equipment
- protective clothing
- availability of cleaning and storing protective clothing
- danger signs, safety instructions, emergency actions
- availability of food storing areas, access to dining areas, hand washing facilities and drinking water
- state of accommodation

4.4 Verification of PRINCIPLE 4: Biomass production shall not violate human rights, labour rights or land rights. It shall promote responsible labour conditions and workers' health, safety and welfare and shall be based on responsible community relations

Countries that did not ratify the ILO core conventions according to attachment 1, which are

- forced labor (ILO 29, 105),
- child labor (ILO 138, 182),
- freedom of assembly and collective bargaining (ILO 87, 98),
- discrimination in employment and professionalism (ILO 100, 111)

shall implement a further verification according to the following points:

- inspection and verification of documents concerning all employees (e.g. employment contracts)
- interview of personnel and external persons, e.g. former staff, local labor leaders, human rights organizations, church institutions
- availability of signed self-declarations concerning good social practices with regard to the compliance with human rights
- availability of official and on hand principles regarding equality, non discrimination

Countries that ratified the above mentioned ILO core conventions might be verified in reasonable exceptional cases.

The criteria of Principle 4 can be verified as follows:

(1) Visual inspection and assessment of internal documents, for example::

- availability of signed self-declarations concerning good social practices with regard to the compliance with human rights
- availability of official and on hand principles regarding equality, non-discrimination
- nomination of persons responsible for occupational safety, health protection and social issues
- Realization of regular meetings and discussions with the parties who are affected by the implemented activities (communities, residents, etc.). Inspection of invitations, mailing lists, documentation of meetings and discussions
- availability of participation-oriented reports for the assessment of social effects
- availability of a complaint form for employees and affected communities
- documents for each employee (e.g. employment contracts, pay slips, documentation of working hours, etc.)
- contracts with other agricultural companies
- reports about internal audits, possibly occurred non-conformities respectively reports about actions and their implementation

(2) interview of personnel, managing directors and stakeholders concerning for example:

- knowledge of self-declarations concerning good social practices with regard to the compliance with human rights
- knowledge of basic principles regarding equality and non-discrimination
- knowledge of the relevant ILO conventions and the commitment of implementation
- compliance with the ILO conventions
- compliance with collective agreements
- interview of people responsible for health and safety management concerning awareness and access to relevant regulations

- interview of communities/local government concerning proceeded discussions and agreements
- regular meetings of management and personnel
- availability of a designated employee representative
- availability of a complaint form for employees and affected communities
- access to school education
- documentation of working times
- contracts
- availability of food

(3) Visual inspection of for example:

- ongoing work processes

4.5 Verification of PRINCIPLE 5: Biomass production shall take place in compliance with all applicable regional and national laws and shall follow relevant international treaties

The compliance with the criteria listed in ISCC 202 Principle 5 shall be verified among others by the following ways:

(1) interview of personnel, managing directors and stakeholders concerning for example

- awareness of the law and ratified international treaties
- compliance with the law and ratified international treaties
- the producer can demonstrate awareness of his responsibilities according to the applicable laws and his compliance with these laws (e.g. concerning the use and storage of chemicals, burning of fields)

4.6 Verification of PRINCIPLE 6: Good management practices shall be implemented

The compliance with the criteria listed in ISCC 202 Principle 6 shall be verified among others by the following ways:

(1) assessment of internal documents, for example:

- list of all fields owned, respectively leased by the company (field number, lot or block-number, field size, field status, type of crop, output of the particular year)
- maps, geographic coordinates, satellite pictures, Google Earth, polygon (approximation, if necessary, see 4.6.2.2 in ISCC 202, see also PRINCIPLE 1) concerning the fields owned or leased by the company
- proof of ownership of all fields by written confirmation of the competent authority (submission of cadastral register or comparable official documents, tax credit in the amount of the property tax) or and adequate certification of a notary or a bank (e.g a notary certified contract of purchase). The fields shall be clearly identifiable (plan of site, hectare data)
- In case of leased fields submission of the leasing contract, certificated by a notary, a bank or an official body. The documents shall clearly identify the owner, the tenant and the fields. Verbal contracts shall subsequently be set out in writing

- reports about internal audits, possibly occurred non-conformities, respectively reports about actions and their implementation
- information about subcontractors and their compliance with the ISCC Standard
- assessment of subcontractors regarding the compliance with the ISCC Standard

(2) interview of personnel, managing directors and stakeholders:

- Interviews with the producers about property and leasing, field lists, field status, maps, etc.
- Interviews with the subcontractors regarding level of awareness and implementation of the ISCC Standard

(3) Visual inspection of for example:

- accordance of field lists, field status, maps with the actual situation.